

**Arizona Department of Transportation  
Intermodal Transportation Division**

**Right of Way  
Procedures Manual**

**July 1, 2006**



**OPERATIONS SECTION**



# Arizona Department of Transportation

## Intermodal Transportation Division

### Right of Way Group

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Transmittal Letter    Date: July 1, 2006

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**TO:    Interested Individuals and Each Holder of the Right of Way Group  
         Procedures Manual**

Attached is the most recent Procedures Manual for the Arizona Department of Transportation, Right of Way Group. As you are viewing the electronic (PDF) version of the manual, hyperlinks have been added allowing you to quickly navigate to the various sections. At the end of each Section and Exhibit you will be given further directions.

Should you have any questions please contact our office directly at (602) 712-7316 or [scorrales@azdot.gov](mailto:scorrales@azdot.gov).

A handwritten signature in black ink, reading "Sabra J. Mousavi", is written over a horizontal line.

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August 29, 2006

In Reply Refer To: HRW  
File:410.1  
Right of Way Manual Certification

Mrs. Sabra Mousavi, Chief ROW Agent  
Arizona Department of Transportation  
205 South 17<sup>th</sup> Avenue  
Phoenix, Arizona 85009

Dear Mrs. Mousavi:

States which receive Federal-Aid funding from the Highway Trust Fund are required to maintain a manual describing its right-of-way organization, policies, and procedures. The guidelines for this manual are detailed in Title 23 CFR 710.201 (c). Beginning on January 1, 2001 and every five years thereafter, the manual will be certified by the Federal Highway Administration (FHWA). The manual shall be updated periodically to reflect changes in the operations and submit the updated material to the FHWA for approval.

The manual was submitted to FHWA for approval in January, 2006. Several months of extensive reviews with subsequent corrections have been accomplished. Realizing the manual will have continual updates/revisions and observed technical corrections will be incorporated; the FHWA finds the manual to be materially in compliance with Federal regulations. Therefore, by this letter, the FHWA is certifying the Arizona Department of Transportation's Right of Way Manual to be in compliance with Federal regulations as of August 21, 2006.

Sincerely yours,

Robert E. Hollis  
Division Administrator



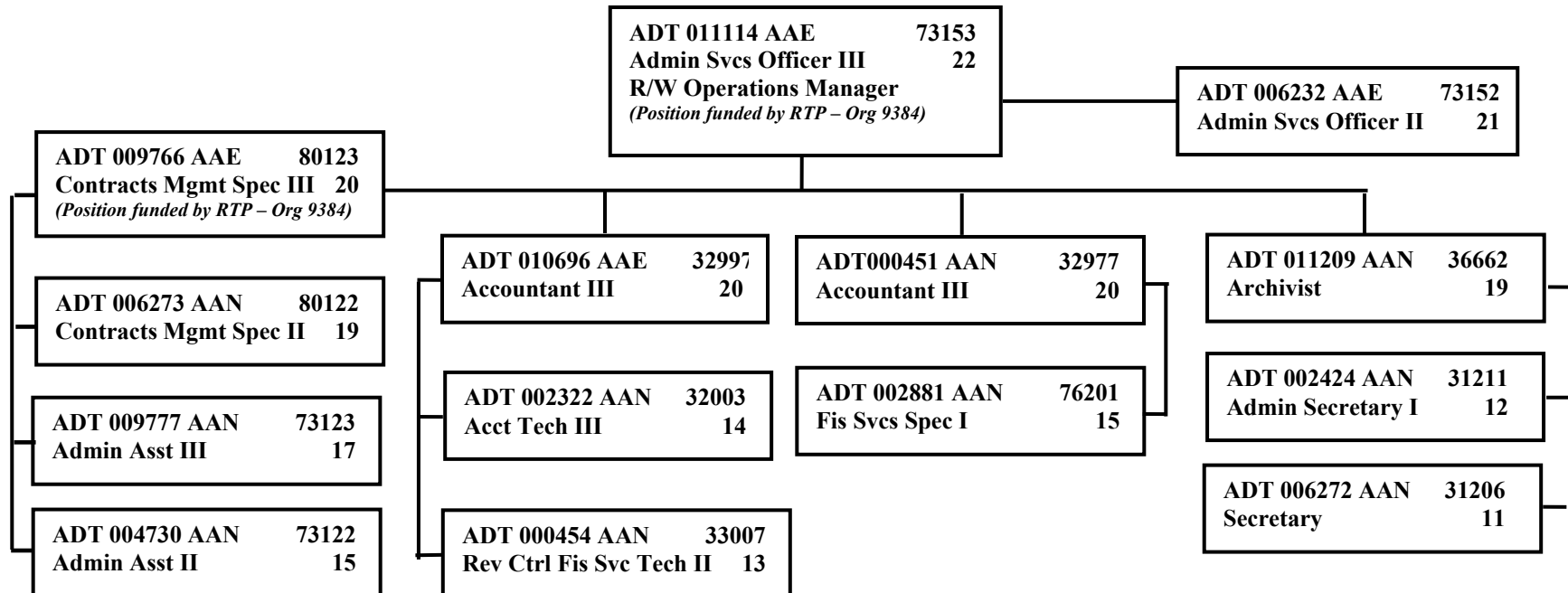
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**Arizona Department of Transportation**  
**Right of Way Group**  
**Org. 9310 & 9384**



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# **Chapter 1 Organization, Responsibilities, and General Procedures**

## **1.01 Purpose**

The purpose of this chapter is to describe the organization and responsibilities of Operations Section in the Right of Way Group.

## **1.02 Basic Responsibilities**

Operations Section is responsible for, but not necessarily limited to, the following:

Processing and maintaining payment and accounting documentation of all Right of Way Group expenditures.

Monitoring Right of Way activities on Federal-Aid or state funded projects.

General record keeping, inventory and requisition of equipment, supplies, and forms.

Providing the Right of Way Group with EDP Unit.

Providing management, control, and storage of permanent right of way files.

Providing the Right of Way Group and the Attorney General's Office with the Consultant Contracts Unit.

Preparing reports estimating future expenditures.

## **1.03 Organization – Two Units**

Right of Way Operations Section consists of two Units: Accounting Unit and Consultant Contracts Unit. The Accounting Unit consists of Federal-Aid, EDP, Record Center Control, and Supplies/Equipment/Inventory Control. The Operations Section Manager is responsible for the management, operation, and production of the Operations Section. Fiscal Services Unit Manager is responsible for the supervision, operation, and production of the Accounting Unit. In the absence of the Manager, an Accountant III will be designated to assume the manager's duties and responsibilities.

See current Table of Organization is located in the main table of contents [\(Org 9310\)](#).

## **1.04 General Procedures**

- a. The Accounting Unit procedures include processing and accounting for all Right of Way Group payments and receipts, preparation of the transaction report, process the Bi-weekly Time Sheets (BTS), preparation of special financial reports that may be needed by the Right of Way Group or other areas of the Division. The Unit also monitors Right of Way Federal Activities.
- b. The Services Support is a function of Right of Way, establishing and controlling all procedures relative to an information and records management program, including EDP Support, forms control, and inventory distribution.

Contract Consultant Unit develops bid preparation and procedures for consultant contracts; handles negotiations between contract service providers and the Right of Way Sections and administers the consultant contract process.

## **Chapter 2 Accounting Unit**

### **2.01 Purpose**

The purpose of this chapter is to describe the functions, responsibilities and general procedures to be followed by the Accounting Unit. The Accounting Unit is under the direct control of the Fiscal Services Unit Manager.

### **2.02 Primary Functions of the Unit**

The primary functions of the Accounting Unit are to process payments, account for expenditures and prepare financial reports for the Right of Way Group.

### **2.03 Responsibilities of the Unit**

Responsibilities of the Accounting Unit include review of all payment requests for accuracy and approval, preparation and computer generation of payment logs, transaction approval, maintenance of payment logs, distribution of payments, determination of Federal-Aid eligibility, document transfer to escrow, submittal for recording of non-escrow documents, review and transfer of payroll documents and preparation of routine and special financial reports.

### **2.04 Payment Procedures**

The following is the general procedure to be followed in processing payments when the Accounting Unit receives statements, billings, and parcel files.

- a. The payment documentation will be audited to ensure accuracy, completeness, proper approvals and compliance with applicable procedures.
- b. At this point the Fiscal Services Specialist or Accounting Technician ascertains the presence of a vendor number in the system. If there is no current number for the vendor, payee, one must be submitted on an AFIS II Vendor Setup/Change Form (Exhibit 25) and sent to Purchasing along with a Request for Taxpayer Identification Number and Certification (Exhibit 21). Within 24 hours Purchasing enters the Vendor Request information in TRACS and the Accounting Unit accesses the newly assigned Vendor Number in the Vendor Name (VNAME) Table.
- c. The amount of the debt and type of service determines the payment document. Bills under \$500 (\$499.99 or less), with the exception of Professional Service and Contracts may be paid on a Purchase Order Draft (POD) (Exhibit 18), which require no encumbrance. For amounts \$500 and over and for Professional Services and Contracts use a Supplemental Receiving Report (SRR) (Exhibit 23), which requires a Blanket Encumbrance. (Exhibit 3)



- d. The Fiscal Services Specialist will review the payment documentation, or parcel file, and initial and date the Payment Processing Entry form for the SRR/POD. An Accounting Technician will then enter the data into the computer database.

From the database Blanket Encumbrances, POD's, and SRR's (Exhibits 3, 18 & 23) are printed and SRR/Encumbrance numbers are assigned. A blanket encumbrance is only printed for payments \$1,000 and over, and only when Highway funds are involved. A separate encumbrance is made for each indebtedness.

The SRR's or POD's are proofread; any needed corrections are made, and the SRR/POD log is printed.

Cash deposits will also be entered in the Condemnation Deposit Ledger.

After the SRR or POD is prepared and reviewed it is submitted to the Operations Section Manager, or his designee for signing. On the POD forms, signature is on the actual check portion.

When the SRR or POD is returned to the Accounting Unit, the POD check information is entered into the on-line Advantage System and the check portion is then mailed out. Each Encumbrance is entered into the Advantage System.

The encumbrance/SRR package and supporting documentation are separated into sets: The original blue SRR form is stapled to the original invoice or appropriate documentation. The SRR is then hand-carried to ASD/Accounting. The white SRR copy, the yellow encumbrance form and a complete set of documentation are attached to the Payment Processing Form and retained in the Right of Way Accounting Unit until payment is made. The POD white copy is stapled to an invoice copy, and is hand-carried to ASD/Accounting.

A SRR is paid by a warrant, which is sent to the Right of Way Accounting Unit from the State Finance Department through ASD/Accounting.

The Accounting Technician will match the check with the appropriate documentation, and will mail check or call agent for hand delivery.

Acquisition packages are put in a suspense file until recorded instruments are returned to Right of Way Accounting. When escrowed, in addition to instruments, an escrow closing statement and title insurance policy must be received.

The Accounting Technician will review the acquisition package, assuring it is complete in every respect, and will forward to the Records Center.

Other claims (both POD and SRR) will be filed in the incidental cost files, except for Relocation Payments. These will be sent to the Right of Way Acquisition Section/Relocation Unit.

## **2.05 Types of Payments**

Payments processed by the Right of Way Accounting Unit will include, but will not be limited to, incidental costs, acquisition by negotiation or condemnation, relocation costs, and payments to clerks of court as cash deposits. All payments for acquisition, relocation, or condemnation must

be approved on a weekly transaction report prior to processing. The Chief Right of Way Agent signs the transaction report.

An Employee Travel Voucher (Exhibit 24) form will be used for travel, personal expenses and other administrative expenditures directly related to State business.

Non-acquisition payments will include all payment requests that are not parcel acquisition costs. After determining validity of payment, accuracy of invoices, proper compliance with Right of Way Accounting rules, project funds availability and determination as to participation or non-participation, a SRR Entry Form (Exhibit 23) or POD Entry Form (Exhibit 18) will be prepared and processed in accordance with procedures outlined in paragraph 2.04.

## **2.06 Payments for Acquisition by Purchase**

These will include all payment requests on parcels acquired through purchase transactions. Validity of payment and underlying documentation will be assured, in addition to determining eligibility for Federal-Aid participation. All appraisals will be analyzed to determine cost codes for allocation of payment. A SRR Entry Form will be prepared and processed in accordance with procedures outlined in paragraph 2.04).

## **2.07 Payments for Acquisition by Condemnation**

The parcel folder will be received from Titles Section/Condemnation. The parcel file will be reviewed in accordance with the following:

Validity of payment and underlying documentation will be assured, in addition to determining eligibility for Federal-Aid participation.

The Judgment, Report of Trial, Stipulation, and Order of Immediate Possession will be examined for completeness and accuracy. Particular emphasis will be placed on comparison of the date of possession, cash bond deposit, and cash bond withdrawal. Based upon examined information, type of payment will be determined (cash/surety bond).

Incomplete, inaccurate, or otherwise questionable court orders will call the agent in Titles/Condemnation Unit for clarification.

Appraisals will be analyzed and the appropriate value used to supplement court awards to determine pro ration and allocation of costs.

A computation of legal interest allowed will be made, using a computation of interest worksheet, for the period specified in the court order.

Condemnation financial data will be extracted and entered on the SRR Entry Form, as well as applicable entries made in cash deposit ledgers. (See procedures outlined in paragraph 2.04.)

## **2.08 Payments to Clerks of Court (Cash Deposits)**

These payments will include all payments on parcels where deposits are required by the Order of Immediate Possession (OIP). The validity of payment and underlying documentation will be assured, in addition to determining the amount eligible for Federal-Aid.

An analysis of the OIP will be performed to determine the nature of the cash deposit.

A SRR entry form will be prepared and will be processed in accordance with procedures outlined in paragraph 2.04.

## **2.09 Processing of Refunds**

All refunds received by the Right of Way Group will be directed to the Right of Way Accounting Unit for processing by the Accountant II. The original payment paperwork is secured and used to determine proper coding of the refund; this includes determination of Federal participation. A copy of the refund is attached to the original documentation.

Refunds can be combined with other types of income when entering batches into the 'Computerized Rental Accounting System.'

A Receipts Voucher printout is generated, and information is entered into ADVANTAGE. See Receipts Voucher for further details.

An Expenditure Correction Form (Exhibit 10) and an ADOT Project Change form (Exhibit 17) will be prepared when required. This will apply to refunds received from clerks of Superior Courts, whereby they are refunding a portion

## **2.10 Right of Way Monthly Reports**

On a monthly basis, the Accounting Technician runs a series of reports from the database. These reports are used for 1) balancing of monthly activity to POD and SRR logs, 2) reviews for proper coding and project numbers, and 3) preparation of financial reports. These reports include:

### **DATABASE REPORTS:**

- R/W Journal
- YTD Object Code Totals
- Monthly Object Code Totals
- YTD Project Totals
- Monthly Project Totals
- R/W Ledger
- Chronological Journal
- Operations Section – CAP Ledger
- Listing of Encumbrance Numbers used

### **FINANCIAL REPORTS:**

- Primary/Secondary Expenditure Report
- MAG/PAG Expenditure Report
- YTD Rental Revenue and Expenses
- Monthly Rental Revenue and Expenses
- R/W Expenditures – Monthly
- R/W Expenditures – YTD

Other types of reports can be run from the database on a 'request' basis, including but not limited to project charge information, payments by parcel number, fiscal YTD payments and payments by sub-object code description.

## **2.11 Special Accounts / Controlling Accounts**

Utilizing ADVANTAGE accounting for special or controlling accounts can be performed upon request through Information TIR.

Special reports can also be obtained using 'InFaccs' in ADVANTAGE. InFaccs is a systems software program tool, which allows you to design ADVANTAGE reports on your office personal computer. Authorization to use InFaccs must be obtained through TIR.

## **2.12 Correction Forms**

Expenditure Correction (Exhibit 10) and General Journal Voucher (Exhibit 11) are documents used to adjust or correct the distribution of expenditures or reimbursements affecting right of way projects or accounts entered into ADVANTAGE.

Errors in project distribution are revealed by post-payment audit of vouchers, comparison or right of way cost ledgers with ADVANTAGE expenditure reports, and other internal control measures.

Adjustments in project distribution are required when all or part of a cash deposit is used to pay a judgment, a rental security deposit issued to pay rent, a site clearance deposit is forfeited, or buildings and equipment purchased on a project are converted to Highways Division use.

EX and JV forms originating in the Right of Way Accounting Unit will be prepared as original with attached copies. (See Exhibits 10 & 11)

The completed form (with supporting documentation) is processed through the Right of Way Fiscal Services Unit Manager for review.

The EX or JV form will be sent to Administrative Services Finance Group for review and input to ADVANTAGE. After acceptance into ADVANTAGE, a processed copy is returned to the Right of Way Accounting Unit.

The numbered copy will be filed in the corrections file, and a copy will be filed with the document being corrected.

- When a correction is prepared to adjust a project cost, in compliance with Federal Highway Administration instructions, a copy will be furnished to the Federal Highway Administration.

## **2.13 Sales Income Accounting**

Property Management Section makes sales of improvements to property acquired by the Right of way Section. The receipts from the sale and a copy of the Excess Land Purchase Agreement & Receipt for Deposit form are given to Right of Way Accounting for deposit.

Recommendation for Disposal of Real Property forms contains a listing by project, sale number, date, item number, and parcel number of item sold during the sale. It lists total amount received, amount of site clearance deposit, and name and address of the bidder.

The revenue from each sale is entered on the Excess Land Spreadsheet. Revenue from improvements sales should not be combined in the same batch with any other type of income. The one exception to this rule is for money received at the time of the sale for site clearance deposits. See section 2.14 for further instructions.

The total amount received for the sale of all improvements will be credited by project, sale number, date, and amount. If the original purchase of the property involved the use of Federal-Aid funds enter into ADVANTAGE under Provider Code: J99 and TRACS # HRW9901R.

Sales of land acquired by the Right of Way Group which are determined to no longer be needed (Excess land) are made by the Right of Way Property Management Section. The receipts from the sale and copies of the paperwork for each parcel sold are given to Right of Way Accounting Unit Accountant II. Copies of all paperwork for each parcel sold are also given to the Accounts Receivable Section of Administrative Services Finance Group. This paperwork consists of an Excess Land Sale Report, and an Excess Land Purchase Agreement and Receipt.

The Right of Way Accounting Unit Accountant II determines whether or not the income is Federally participating.

The revenue from each new sale, along with any installment payments received from previous excess land sales, will be entered into ADVANTAGE and AFIS and then delivered to the State Treasurer. Excess land revenue should not be combined in the same batch with any other type of income.

A copy of the Deposit and checks is sent to the Contract Accounting Unit of the Finance Group for an update of their records. On a monthly basis, the Contract Accounting Unit generates an Aged Open Invoice report (in-house report) for verification of remaining open balances.

## **2.14 Site Clearance Deposits**

The lump sum total from site clearance deposits will be credited to the Site Clearance Deposit Account, H089501R in ADVANTAGE.

An entry is made in the Site Clearance Deposit Control Account for each individual deposit, indicating parcel number, bidder's name, sale number, line item number, and amount of deposit.

Upon satisfactory clearance of the site, the Right of Way Property Management Section submits a memo certifying that the site has been cleared. The refund data is then entered in the Site Clearance Deposit Control Account, and the voucher is forwarded to the ADOT Accounting Section, for payment.

When the site is not satisfactorily cleared prior to forfeiture date, and an extension has not been granted, it is the responsibility of Right of Way Property Management Section to notify the Right of Way Accounting Unit. An expenditure correction is prepared to credit the project and debit the deposit account and an adjustment memo will be furnished to the ADOT Accounting Section by the Right of Way Finance Branch to adjust the fund account.

## **2.15 Salvaged Property Accounting**

When an item of property is bought as part of a right of way project, it may subsequently be removed from the right of way for use by an activity of the Highways Division or other state agency. The property shall be referred to as salvaged property, retained for use by the State. The accounting for this salvaged property within the Right of Way Group will be in accordance with the following procedures:

An agency of the State desiring to obtain an item of salvaged property will prepare a written request.

The request will be processed through the authorized agent of the requesting district or section to Right of Way Property Management Section.

Right of Way Property Management Section will determine if the item is available for salvage, and a determination of salvage value will be made in accordance with established procedures.

The item of property will be released to the requesting agency and the letter of determination of salvage value will be furnished to the Right of Way Accounting Unit.

The Right of Way Accounting Unit will prepare an expenditure correction to credit the right of way project with the salvage value of the property.

If the original purchase of the property involved the use of Federal-Aid funds, the credit will be participating.

## **2.16 Property Loss / Damage – Insurance Recovery**

The investment in property acquired on right of way projects is protected against loss through a co-insurance program with the State (self-insurance) and insurance carriers sharing the responsibility for losses. The Risk Management Division of the Department of Administration administers the insurance program.

When a loss occurs, Right of Way Property Management Section furnishes pertinent information to the Adjustments and Claims Services so that claims can be filed.

Right of Way Property Management Section will furnish the Right of Way Accounting Unit with a copy of the complete claim to be held in suspense pending receipt of any recovery.

Insurance recovery funds are received by Right of Way Property Management Section and are forwarded to the Right of Way Accounting Branch where they are entered on the database and credited to the project fund from which the property was acquired.

If the original purchase of the property involved Federal-Aid funds, the project credit will be participating.

A copy of the receipts voucher will be attached to the claim on which the original expenditure was made. An additional copy of the receipts voucher, with supporting documentation, will be filed in the insurance recovery file.

## **2.17 Receipts Voucher**

Fiscal Specialist II of the Right of Way Operations Accounting Unit receives cash and checks. The payee, signature, numeric and alpha amounts are reviewed for validity. Each rental receipt is coded with a rental agreement number. All non-rental receipts are coded with unique data for identification.

Receipts are entered into the rental data base, from which a printed receipts Voucher (in-house form) is produced with all the necessary identification for each receipt, reported by type of receipt, ADOT fund, ADOT Org, and Right of Way project number.

A Project Distribution In-house form, Excess Land Payment Information (Exhibit 27) is prepared showing total receipts for each Right of Way project by ADOT fund, org. and provider codes. The Accountant II receives summary from the Fiscal Service Specialist and signs off the project distribution summary and endorses all monies for deposit.

Prepares a TC-55 Deposit with State Treasurer (Exhibit 7), showing ADOT Org. and ADOT/AFIS Revenue codes, Receipts data is entered into ADVANTAGE and AFIS, by Accountant II. The TC-55 and receipts are delivered to the Treasurer along with the Batch Header Record (Exhibit 2) and the Deposit Ticket (Exhibit 7). Upon deposit, a State Treasurer validation number is entered on the TC-55. The Treasurer returns two validated copies back to the depositor, which are then brought to Right of Way Operations Accounting Unit.

All pertinent information from deposit is entered into the Paradise Parkway and Pima 10 Yr. Financing Spreadsheet by the Accountant II and copies to Contract Accounting for their records.

## **2.18 Bi-Weekly Time Sheets**

The "Bi-Weekly Time Sheet (BTS)" form (Exhibit 4) is posted daily by the employee in accordance with instruction given in ADOTM-I-92 (FIN-10.05). The respective Section Manager reviews each BTS.

At the end of each bi-weekly pay period, each Section enters the approved Bi-Weekly Time Sheet (BTS) in HRMS.

Verification of the validity of project numbers and function codes will be performed prior to entering into HRMS.

The validity of participating or non-participating designations, and total hour category entries, will be verified.

After all checks and verifications are completed, the BTS will be separated into its two components. The original copy will be transmitted to Payroll Services via the HRMS payroll system, and the second copy is filed in Social Security number order by ORG number and pay period in each Right of Way Administration.

A BTS Reconciliation is prepared for each ORG and delivered with original copies of the BTS to ADOT Payroll Services on the last day of the payroll period.

## **2.19 Travel Vouchers**

When an employee is authorized for travel and expenses incurred in the discharge of official duties, an Employee Travel Voucher ADOT FORM 06-6301 (Exhibit 24) must be completed in accordance with instructions given in ADOTM-Section II-D-2 - D-6.

Travel vouchers for all employees of the Right of Way Group will be:

Prepared by the employee

Reviewed and approved for payment by the employee's supervisor.

Audited by Right of Way Operations Accounting Unit and forwarded to payroll for payment.

When the Right of Way Operations Accounting Unit receives notice that the travel expense check is ready, the check is picked up, delivered to the employee, who acknowledges the receipt of the check by signing the "TRAVEL EXPENSE CHECK RECEIPT" log book.

## **2.20 Recording of Instruments**

The Right of Way Accounting Unit is responsible for the recording of the instruments that are required in the acquisition of rights of way for the Arizona Department of Transportation, Highways Division.

Instruments are recorded in the county where the property is located, and may include: deeds, easements, licenses, expiration of licenses, final orders of condemnation, corporate resolutions, and all other documents transferring, or supporting the transfer of a property or property rights.

Upon receipt of the instruments to be recorded, the instruments are sorted by county and listed on the "Recorded Documents and Fees Transmittal" In-house form (Exhibit 19), by project, parcel number, grantor, type of instrument, and recording fee.

A payment processing record is prepared and a POD is assigned. County Recorders are paid with a POD check.

The check, a copy of transmittal letter, and instruments are forwarded to the County Recorder. A suspense file is maintained for all such transmittals until the recorded instrument and acknowledged receipt of payment are received from the County Recorder.

Upon receipt of the recorded instrument, it is placed in the appropriate acquisition package and a card containing the recording date is completed and transmitted to Right of Way Property Management Section. Distribution of other recorded documents will be in accordance with the instructions of the requestor.

When recorded instruments are not received within a reasonable period of time, the R/W Accounting Unit will initiate follow-up action. The recording clerk will screen all acquisition packages to ensure that all instruments have been properly recorded.



## **2.21 Project Budget Review**

Monthly budget and expenditure reviews for MAG (Maricopa Association of Governments), PAG (Pima Association of Governments) and Statewide projects are currently performed.

Further detail write-ups will be forthcoming.

## **2.22 Purpose**

The purpose of this chapter is to describe the functions and procedures to be followed by the Right of Way Accounting Unit.

## **2.23 Closing of Federal-Aid Projects**

Send out In-house Form “R/W Project Closure/Reprogramming Notice” (Exhibit 22) to all R/W Sections to determine project-closing status.

From the replies to the “R/W Project Closure/Reprogramming Notice” sent out to all R/W Sections, determine by indicating parcel number(s), estimated payments outstanding,

Approximate date of finalization, and any other information that might affect the project closure.

If it appears the project is ready, or at least cost ready to close, then send completed “R/W Project Closure/Reprogramming Notice” to Project Control – Administrative Service Division to close the project for all charges.

## **2.24 Advance Acquisition – Right of Way Revolving Fund**

The Accounting Unit is responsible for the coordination of “Q” programming, advance funds, and reporting.

The State may apply for yearly allotments of “Q” funds.

When the Right of Way Operations Manager has approved the projects and amounts, the Chief Right of Way Agent’s approval is secured.

The data is submitted to the ADOT Transportation Planning Division and a “Request for Approval of Individual Project Program Change” is submitted to the Federal Highway Administration. When approved by the FHWA, a copy of the executed document is sent to the R/W Accounting Unit.

When an advance of funds is required, a written request is submitted through the Accounting Unit, to the Federal Highway Administration.

Funds will be paid back per Statute ARS 6/15/98 Public Law 105-178.

# **Chapter 3 Services Support Branch**

## **3.01 Purpose**

The purpose of this chapter is to describe the functions, responsibilities, and the general procedures to be followed by the Services Support.

### **3.02 Primary Functions**

The Services Support provides the following functions for the R/W Group: to establish and maintain an efficient information and records management program; to inventory and requisition supplies, equipment, and forms; and to provide computer support.

### **3.03 Responsibilities**

The responsibilities of the Services Support Branch include filing, maintenance and storage of records for the Right of Way Group; responsibility of forms management and controls, acquiring and maintaining all EDP hardware and software; and maintaining adequate supplies/equipment inventory.

### **3.04 Policies**

All right of way records in the central records shall be maintained, retained, or disposed of in accordance with:

- Federal laws
- State laws
- Department policy
- Right of Way Section policies and procedures
- Space needs
- Staff needs
- Equipment needs

### **3.05 Administrative Studies Reports and Research Assistance**

The Services Support researches and prepares any studies or reports requested by Right of Way management. Reports and/or studies requested by Right of Way management are transmitted to the Right of Way Operations Manager for concurrence before being processed to Right of Way management.

## **Electronic Data Processing Unit**

### **3.06 Purpose**

The purpose of the EDP Unit is to provide the R/W Group with computer support for applications, programming, hardware and software. This insures that the R/W Group has a minimal amount of computer "downtime", and has on-site personnel with R/W experience who can tailor EDP needs and applications to R/W goals.

### **3.07 Primary Functions**

The primary function of the EDP Unit is to support personal computer applications (to include hardware, software, programming, maintenance, and acquisition) for all R/W Sections, and to act as liaison between R/W and Technical Information Resources.

### **3.08 Responsibilities**

The Electronic Data Processing Unit has the responsibility of acquiring and maintaining all EDP equipment and applications for the R/W Section. This includes hardware, software, programming, applications, and systems administration of all assigned RACF ID's and Internet access requests. (See Exhibits 5, 6, 12 & 26).

### **3.09 Procedures**

The purchase of EDP equipment will be coordinated with management approval up to \$5,000.

All existing programs in use by R/W must be installed from original software, which is kept in a secure, locked environment in the EDP Services Support office.

The EDP Unit maintains a set of "Computer Security Guidelines" which is shown to all new employees who then sign and date a RACF ID Form that they have read same.

The EDP Unit will troubleshoot any problems for Applications or PC's in R/W, and perform daily, monthly, and quarterly backups on R/W Operations' PC's as needed.

## **Records Center Control**

### **3.10 Purpose and Scope of the Records Center**

The purpose of a central Right of Way Group records area is to minimize overhead expenses and reduce the need for more records storage space and office space as well as provide Right of Way management with an efficient means of record maintenance, use, and protection. The team service as regulator and coordinator between Right of Way management and all Right of Way Sections as well as other divisions of ADOT and Federal Highway Administration. Its aim is to relieve Right of Way management of certain administrative tasks and at the same time prove an effective means of keeping all Sections in the Right of Way Group informed of the latest policies and procedures.

### **3.11 Primary Functions**

The primary function of the Records Center is to effectively maintain all R/W records and files to ensure information is provided to management and the public in a timely and orderly manner.

### **3.12 Responsibilities**

The Records Center is responsible for the design of systems and equipment needed for control, collection, processing, filing, maintenance, storage, retrieval, safeguard, and disposition of all central Right of Way Records. Additional responsibilities include keeping Right of Way management informed of the records activities and programs and providing assistance and/or training for other departmental employees who need access to records. The Branch periodically reviews filing programs and classifications, retention and disposition schedules, staff and equipment needs for records management effectiveness, and makes change or alternations where necessary.

### 3.13 Procedures

#### a. Records Definitions

Records are defined as: All papers, maps, photographs, or other documentary material, regardless of physical form or characteristic pertinent to acquisition of Right of Way for transportation purposes. Records include, but are not limited to: legal instruments such as court documents, deeds, easements, agreements, contracts, title policies, leases, correspondence, vouchers, appraisals, title reports, plans, maps, photographs, tabulation sheets, and reports.

#### b. Manual File Definitions

1. Central Record File – The official master file contains originals of a particular right of way action, transaction, or recommendation relating to acquisition of property or property rights to be utilized for transportation purposes.
2. Acquisition Package – A temporary traveling acquisition work package used until the right of way transaction has been completed. Upon completion, it is combined with the “Central Record File.”
3. Relocation Package – A temporary traveling relocation work package used until the right of way transaction has been completed. Upon completion, it is combined with the “Central Record File.”

#### c. Records Control

The large volume of records generated during the purchase of rights of way and the importance of Right of Way’s vital records make it essential to control all records.

1. Staff: The central records area is staffed at all times during regular business hours.
2. Cross-indexing: A cross-index is prepared for all Right of Way parcel acquisition files.
3. Files:

The parcel files are also given a number, of which the prefix is based upon a county name. Parcel numbers are assigned and controlled by Right of Way Plans Services and are based upon the following county name codes.

County No. / Name		County No. / Name	
1	Apache	9	Navajo
2	Cochise	10	Pima
3	Coconino	11	Pinal
4	Gila	12	Santa Cruz
5	Graham	13	Yavapai
6	Greenlee	14	Yuma

7	Maricopa	15	La Paz
8	Mohave		

Project files are also labeled with the appropriate number. The project files are maintained and filed by project number within the various highway route categories: Interstate, Primary, Secondary and urban.

General correspondence is filed in alphabetical order by subject.

Facility site files are filed according to parcel numbers assigned by Right of Way Plans Section, or facility site number as assigned by Property Management Section.

Some site numbers were assigned according to the engineering districts within the state, others according to the county number code.

Permanent document files are filed according to the project number and parcel number if available.

Highway Commission and ADOT Board meeting reports are filed chronologically.

4. New Files – A new parcel file is prepared when ownership information is received from Right of Way Plans Section. To initiate a parcel file, a name index card is also prepared (see paragraph (2)). The ownership report or title report is placed in a sturdy, legal size expanding folder, and the parcel number is typed on a color-coded label and placed in the right hand corner. The file is then placed in automated file unit in numerical sequence by parcel number. Other types of files are begun by preparing a new folder with the proper color-coded identification.
5. Preparation For Filing – All incoming material must be checked for proper filing identification. If the filing reference is missing or incorrect, the records clerk must contact the writer, or in the case of incoming correspondence from outside of Right of Way, return to the receiver and ascertain the proper identification. The items are then placed in order, either numerically or alphabetically, before the actual filing process. Those items that do not contain any identification are set-aside until the proper filing place can be determined. The records clerk must be aware of all filing procedures regarding each type of record or file. Even though a piece of incoming correspondence may be identified with both a parcel and a project number, the records clerk must make the decision as to the proper place of filing.
6. Filing Process – Normally, all items are filed the day they are received. Items received late in the day or those that need clarification are usually filed the next working day. Generally, once a file has been initiated, information to be placed in the file is sparse. Appraisals and general correspondence are usually the only items to be filed into the parcel file before the acquisition package arrives to be combined and filed. Incoming project and general correspondence are filed chronologically, the latest date on top. Resolution information is received as a package, and a permanent file is prepared upon receipt of the package. Its contents are then placed in the pre-determined order. Facility sites are handled the same as parcel files. The Highway Commission and the Transportation

Board approval files are complete files when received and require no additional filing action. They are stored in the Central Records area as long as space is available. When space becomes critical, the files are microfilmed.

7. Distribution and Retrieval – Distribution is made by physically removing the file from either the automated units or from shelving and handed to the requestor. The file may be used at the records center or taken by the requestor if desired. To remove the file from the records center, a checkout system is used. A folded out card the same size as the file is filled in by the requestor with the current date, requestor's name, and the file name or number. The file then may be taken to the requestor's work area. If the requested file is for another individual, his or her name must be placed on the out-card along with the name of the individual who removes the file. Files are not to be checked out with such generalities as "manager," "acquisition," or "condemnation."

When the requestor is finished with the file, he/she must return it to the records center by placing it on the counter. The records clerk will then return the file to its proper place, and the out-card will be removed and the name obliterated. Items received during the period the file was out are placed in the out-folder and filed in their proper place when the file is returned.

Once each month all out-cards are checked, and a list is made for each section in Right of Way itemizing those files that have been out for at least 30 days. If the person who originally checked out the file no longer has a need for it, he or she may wish to return it at that time. If there is still a need, a file checkout-card then can be updated to show that it is still in the hands of the original requestor. If a file is not in the possession of the original requestor, it is the responsibility of the requestor to locate the file for the records clerk. The records clerk will verify its location and obtain a new sign-out card.

d. Records Storage, Maintenance, Safeguard

All Right of Way central records are stored and maintained in a centrally located area. A service counter is provided for those who make use of the records, and access is by a checkout system (see distribution and retrieval). The records area is locked during other than regular business hours.

e. Record Retention

All Right of Way central records are retained in original form until the project has been finalized by Right of Way Plans Section and Right of Way Operations Section. After both finalization processes have been completed, the records are retained as hard copy, or they may be scanned. The hard copy or the CD Disc must be available at all times.

- 1 Federal-Aid Records – All financial records, documents, correspondence, statistical records, and any other records pertinent to Federal-Aid highway projects must be retained according to Federal Highway Guidelines and Regulations.

2. Non-Federal-Aid Records – All records pertaining to Non-Federal-Aid projects are maintained and retained exactly as the Federal-Aid records. Those records that are not project related are retained according to Arizona Revised Statutes.
3. Permanent Records – Due to the nature of right of way acquisition, certain vital documents are retained as permanent records and are stored within the Right of Way Central Records Center. These vital records are retained in a permanent instrument file by project number sequence.
4. Master File and Acquisition Transaction Package Combined –
  - (a) Transaction Package Review – When an acquisition package is complete, the acquisition reviewer forwards the file to the Records Center for a final review prior to processing for payment. The file is thoroughly reviewed for completeness of documents, correspondence, title requirements and payment authorization. When satisfactory, the file is forwarded to Right of Way Plans with copies of the Transmittal Sheet, Purchase Agreement and Building Report to Right of Way Property Management and the copies of the Transmittal Sheet, Purchase Agreement and Draft Transaction Summary to Right of Way Accounting
  - (b) Regular Parcel Acquisition File – When the parcel acquisition process has been completed and the payment has been made to the grantor, the parcel acquisition transaction package is transmitted to Right of Way Records Center. The package is first thoroughly reviewed and any corrections are made before it is combined with the permanent central record file. The two files are merged by first eliminating all duplications and then placing the remaining documents into a pre-determined sequence. If a file becomes too large for one folder, the contents will be divided into two or more folders.
  - (c) Condemnation Acquisition File – The condemnation acquisition file is returned to the Records Center after the Final Order of Condemnation has been issued and recorded. The condemnation file is cleared of duplications with the file contents following the same order as a regular acquisition file, up to and including the acquisition contact report, which indicated the grantor's unwillingness or inability to sell to the State. The file then progresses as a condemnation file.

f. Scan Program

The Services Support is responsible for the scan program for all central records. The decision to scan records is based upon the need for space and finalization of a project by Right of Way Plans and Right of Way Operations Sections. The program may be accelerated if space is critical, or it can be delayed or stopped if ample storage space is available.

## **Supplies / Equipment / Inventory Control**

### **3.14 Purpose**

The purpose of this chapter is to present the responsibilities and procedures to be followed by the Supplies/Equipment Team in coordinating requisitions for supplies, office equipment and inventory control.

### **3.15 Primary Functions**

The primary function of the Support Service Supplies is to procure furniture, equipment and supplies for the R/W Group.

### **3.16 Responsibilities**

The Supplies /Equipment person is responsible for receiving requests for supplies, checking the requests to assure only needed supplies are ordered and the items ordered are on contract. Setting up PO's distributing supplies to proper Orgs, changing toner, keeping a log on usage of toner on printers and copiers, purchase and maintain inventory for all supplies in regard to copiers, printers, fax machines and microfiche equipment, reporting malfunctions of machinery to repair services. Keep log on maintenance contracts, and pagers.

### **3.17 Procedures for Requesting Right of Way Supplies and Equipment**

The requisitioning of all supplies and office equipment is coordinated and regulated by the Fiscal Service Specialist II with the approval of Operations Manager.

1. Order, distribute, and replace pagers. Maintain log, assignee, serial number and phone number of all pagers for Right of Way.
2. Orders supplies from outside vendors (Exhibits 16 & 20). Secure all information on vendor necessary to set up purchase order. Set up PO in advantage for \$1.00. Call the vendor to request supplies. Complete PO with amount, sales tax, shipping cost, if applicable, and text.
3. Capital outlay items and other orders that are not classified as supplies require a purchase requisition with the approval of the Chief Right of Way Agent.
4. Maintain an inventory of machinery and office supplies for operations, reorder supplies as needed.

Records of each Sections budgetary orders and allocations are maintained by the Fiscal Service Specialist II.

### **3.18 Right of Way Inventory Control**

The EDP Support Services has the responsibility of maintaining and monitoring Inventory Control for the Right of Way Group. These responsibilities include, but are not limited to:

- a. Complete an Engineering and Office Equipment Transfer, ADOT Form 58-9001, when receiving or transferring equipment for the Right of Way Group Contract.
- b. When new equipment or furniture with a value of \$3,000 or more is received in Right of Way Operations, affix the State Number to the new item and enter data on the inventory printout.
- c. Maintain a current Inventory Control file for the Right of Way Group.



- d. Perform an inventory check on all office equipment for Right of Way Operations, making notes of any discrepancies.
- e. Monitor the Right of Way Contract inventory check. Prior to submitting the finished report to Fixed Assets, obtain approval from the Right of Way Operations Manager.

### **3.19 Annual Inventory Control**

The EDP Support Services will annually inventory all assignments of office equipment or other major items normally considered to be a capital outlay nature.

- a. An Inventory Record, form ADOT 58-9001 R9/97 (Exhibit 9) Equipment Transfer will be prepared when new equipment is received and assigned to personnel or to a Section. The card will be updated when equipment is transferred between Sections or individuals.
- b. A written request will be prepared by the Branch whenever Right of Way equipment is to be repaired, either within the Department facilities or sent for repair to outside vendors.

### **3.20 Equipment and Building Maintenance and Repair**

The Fiscal Service Specialist II has the responsibility for requesting equipment maintenance and repair on copiers/fax, the administrative secretary reports faulty phone service and building maintenance problems for all Right of Way Group to facility maintenance.

- a. Request for building maintenance shall be made either by telephone or in writing to facility maintenance. If fee is required upon approval of the request, the required information will be furnished to the Facilities Management Group.
- b. Building maintenance complaints in regard to poor lighting, elevator problems, hearing and cooling, and lack of proper janitorial services will be reported to the Facility Maintenance and log maintained by the administrative secretary.
- c. Requests for maintenance and repair of equipment such as copiers, lectrieviers, computer equipment and typewriters will be directed to the specific company holding the maintenance agreement.

### **3.21 Forms Control**

Each Unit works closely as a Team in the process of creating and designing a new template form, updating, or re-ordering an existing form. Close attention is given to the need and purpose for the form, its use, title, design, layout, size, color of ink and paper, whether the form is to be bound, punched, or padded; and consideration of the cost of labor to produce and use the form. Generally, the processing exceeds the cost of the form. Order and re-order quantity is based upon usage, past knowledge about the minimum and the maximum quantities, and the length of time the form lasted.

- a. For Requisition Process – Requisitions for forms for the Right of Way Group are processed by the Fiscal Service Specialist II/or Administrative Secretary I using several different methods, depending on the quantity, need, time factor, purpose and use.

1.     Reproduction Requests – Interoffice-type forms that are used only occasionally can be produced through the ADOT Reproduction Section. This method requires that the form be typed exactly as needed and that the quantity not exceed 200. This form is ordered by a Reproduction Work Request, ADOT Form 63-8401. The date, organizational unit, ORG number, and function code is placed on the request and it is signed by the Team Supervisor. Some of the forms printed in this manner are rout slips, various inter-office transmittals, and form letters. The Reproduction Work Request is also used for punching holes, folding, stapling, and binding.
2.     Reprint Request – Requests for forms which will be printed exactly as last requested are submitted to forms management on ADOT Form 28-8401, “Printing Services Form” (Exhibit 16).
3.     New Form Request – New forms are prepared by the Administrative Secretary I or by each ORG. All forms are designed to conform to Forms Management Contract specifications for size, arrangement, and title.

Both the Reprint Request and the New Form Request must be signed by the requesting ORG Manager and the Operations Section manager.

- b.     Storage – Most forms are stored by the originating Right of Way Section.

Form Approvals and Revisions – All requests for forms must be approved by both the requesting Section Manager and the Operations Manager. Certain publications, legal finding instruments, or contracts require additional approvals of either Right of Way management and/or the Attorney General’s office. Any revisions to these forms require the same approval.

## **Chapter 4 Consultant Contracts Unit**

### **4.01 Purpose**

The purpose of this chapter is to describe the functions, responsibilities and general procedures to be followed by the Consultant Contracts Team. The Consultant Contracts Team is under the direct control of the Right of Way Operations Section Manager.

### **4.02 Primary Function**

The primary function of the Consultant Contracts Team is to administer contracts as required to accomplish Right of Way program goals and the requirements of the Attorney General’s Office for condemnation purposes.

### **4.03 Responsibilities**

The responsibilities of the Team include contract administration for various right of way services and related support functions, such as appraisal/review appraisal services, title services, acquisition and relocation services, expert witness, hearing officers, demolition, asbestos abatement and other property management services.

The following activities are within the Team's responsibilities:

- a. Maintain liaison between the Right of Way Group and contractors, ADOT Procurement, Engineering Consultant Services and Attorney General's Office.
- b. Assist in the preparation and processing of a request to have service on contract, or to have existing contracted service re-bid.
- c. Provide guidance in obtaining property management services currently not under contract.
- d. Obtain bids for various work assignments authorized under contracts awarded by Procurement or Engineering Consultant Services.
- e. Issue purchase orders for the payment of all services authorized under contracts awarded by Procurement or other order documentation required by Engineering Consultant Services.
- f. Maintain file of contracts, work assignments, and related documentation.
- g. Monitor contracts for expiration dates and work assignments for due dates.
- h. Receive and process any completed materials submitted to the Right of Way Group by contractors.
- i. Prepare and process expert witnesses letter contracts or other supporting requirements requested by the Attorney General's office for condemnation proceedings.
- j. Review invoices for compliance with contract rates and process for payment upon appropriate approval.
- k. Prepare and submit reports relative to contracts.

#### **4.04 Request for Contracted Services**

- a. Requests for Professional or Special Service Contracts for the Right of Way Group must be submitted to ADOT Procurement or Engineering Consultant Services, as applicable, through the Consultant Contracts Team. The request must be approved by the Chief Right of Way Agent or his authorized designee.

All requests must contain the following information:

- 1. A clear and complete description of performance objectives and specific deliverables to be provided within desired time frames.
- 2. Estimated cost and verification of available funds.
- 3. List of known sources, if available.
- 4. Identification of the ADOT Right of Way Requestor (Contract Monitor).

5. Identification of any special concerns, such as critical deadlines, potential liabilities, security requirements, sensitivity of subject matter, etc.
- b. Consultant Contracts Team coordinates review of draft solicitation by appropriate Right of Way staff and forwards to Procurement or Engineering Consultant Services, as applicable.
- c. After solicitation opening date, Procurement or Engineering Consultant Services, as applicable, provides copies of bids/proposals to Evaluation Committee. After evaluation of bids/proposals, the Right of Way Lead Person submits the Recommendation for Award document along with the bids/proposals to Consultant Contracts Team.
- d. Consultant Contracts Team makes appropriate copies for contract file and forwards to Procurement or Engineering Consultant Services, as applicable, for contract award.

#### **4.05 Request for Work Assignment Bids**

- a. Upon request from a Right of Way Section, the Consultant Contracts Team obtains bids from contractors in a specified pool.
- b. When the bids are received, the Consultant Contracts Team reviews and forwards a summary to the Right of Way Requestor showing the contractor's name, amount of bid for each parcel with a total if more than one parcel, and the time required to complete the work.
- c. Assignment and issues the applicable ordering document.

#### **4.06 Work Assignment Monitoring**

All work assignments are monitored by the Consultant Contracts Team for completion. Any requests for deadline extensions are granted or denied based on established criteria. Liquidated damages for untimely submittal are assessed by the Consultant Contracts Team in accordance with the contract.

#### **4.07 Attorney General's Office Request for Consultants**

When the Attorney General's Office determines that it is necessary to use the services of a consultant, the following procedures apply:

- a. The Attorney General's Office requests the Consultant Contracts Team to obtain the services of appraisers, or other expert witnesses, and shall furnish information required on the applicable Consultant Contracts Team Request Forms. Expert witness consultants may be requested without a bidding process.
  1. If work is to be assigned to a pool appraiser, Consultant Contracts Team obtains a bid to be approved by the Attorney General's Office prior to issuing the applicable ordering document.

2. If work is to be performed by other expert witness, the Attorney General's Office provides Consultant Contracts Team a fee schedule to be incorporated in the expert witness letter contract.
- b. The Attorney General's Office shall forward a written notice of any change to the Consultant Contracts Team in order that an amendment can be prepared.

## **Chapter 5 Exhibits**

The following Exhibits are intended for reference purposes. Some of the Exhibits have been reduced in size in order to include them in this manual. [Click Here](#) to view the Exhibits.

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